



# RECORDS RETENTION SCHEDULE



Prepared by  
**STATE RECORDS BRANCH**  
Public Records Division  
Kentucky Department for Libraries and Archives

# RECORDS RETENTION SCHEDULE

## Signature Page

Department of Veterans' Affairs  
Agency

December 2001

Schedule Date

Kentucky Veterans' Centers  
Unit

Change Date

12/13/2001  
Date Approved by Commission

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## APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Leslie E. Beavers  
Agency Head **LESLIE E. BEAVERS**

12/6/01  
Date of Approval

Gilda Hite  
Agency Records Officer

12/6/01  
Date of Approval

Richard H. Kellogg  
State Archivist and Records Administrator  
Director, Public Records Division

12/12/01  
Date of Approval

[Signature]  
Chairman, State Archives and Records Commission

12/13/01  
Date of Approval

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The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Diana Moses  
Records Analyst/Regional Administrator

12/5/01  
Date of Approval

Jim Ingle  
Appraisal Archivist

12/12/01  
Date of Approval

Diana Moses  
State/Local Records Branch Manager

12/5/01  
Date of Approval

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The determination as set forth meets with my approval.

Patricia Jones-Nelson  
Auditor of Public Accounts

12/18/01  
Date of Approval

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** December 13, 2001

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Governor, Office of the  
Veterans' Affairs  
Office of Kentucky Veterans' Centers  
Veterans' Centers

Records Title Series and Description		Function and Use	Contents	Retention Disposition Instruction		
04603	Medical Record File (C) KRS 61.878 (1) (a) Change Date: 3/13/2003 (V)	This series documents the course of a resident's treatment while at a Kentucky Veterans' Center. As required in 902 KAR 20:048, it contains pertinent facts of a resident's life and health history. It includes past and present illnesses and treatments, as prescribed by health care professionals. The series is used to assess and improve techniques and can eventually be transferred to another health care facility, if the resident leaves. It documents all official actions - and can be used for coding diagnoses and for financial reimbursement. Although it rarely occurs, the series may provide information about a resident's military service.	Series contains: Resident's name; address; insurance; social security number; name, address, telephone number of referral agency; consent to treatment and admission; medical history; physical examination information; doctor's orders; treatments; progress notes; nurse's notes; evaluations by other health care providers; name, address, telephone number of next of kin; documentation related to uses and disclosures; authorization forms; and some military records	Agency: 1	Records Center:	Archives Center:  Destroy six years after resident's death or discharge
04604	Incident Report File (C) KRS 61.878 (1) (a) (V)	This series documents all unusual occurrences involving residents, that happens within the facility. As required in 902 KAR 20:048 (3) (d), a written report must be made involving a patient, visitor or staff. Examples of occurrences include a resident falling, residents fighting, and employee injuries. The information collected is used to identify problems and to help in determining whether a special care conference needs to be held to deal with a resident's behavior, so they do not hurt other residents, staff, or visitors. The series also is used to determine the necessity for administrative action on an issue, if adult abuse has taken place, and whether complaints are legitimate and need further follow up.	Series contains: Resident's name; department; time of occurrence; medical records number; date, location and description of occurrence; signature of person reporting; follow-up or corrective intervention information	Agency: 3	Records Center:	Archives Center:  Destroy
04605	Quality Assessment Report File Change Date: 3/13/2003	This series documents all assessment activities conducted in the facility, including utilization review. The process is performed internally, and the purpose is to evaluate the care and services provided to residents and staff. The reports are used by Veterans' Administration surveyors and state Licensing and Regulation surveyors to determine whether the centers are addressing important issues and resolving problems within the facilities, which includes review of resident care and complaints.	Series contains: Review of utilization resources and services; evaluations of medical, nursing, and rehabilitative care given to residents; evaluation of the nutritional needs of the residents; and other evaluations related to care and services	Agency: 6	Records Center:	Archives Center:  Destroy after audit



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Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04606	Schedule II Prescription File (C) KRS 61.878 (1) (a); 38 U.S.C. 3301 (V)	This series documents and provides information on medications (Schedule II) administered to residents, as prescribed by a physician. Schedule II narcotics provide a particular resident/patient with a medication needed for a specific medical condition. The drugs can have a very high abuse potential. Some examples of Schedule II drugs are: Percocet, Oramorph, Morphine, and Marinol (marijuana). The file contains all pertinent information concerning the dispensing of the drugs. Pharmacists are required to account for every Schedule II drug on a daily basis. Failure to do so, could result in penalties from the Drug Enforcement Agency (DEA) and the State Board of Pharmacy. Center pharmacies request the needed drugs from a licensed supplier (DEA order form 222 has to be used). It is then the responsibility of the pharmacy to dispense the drugs, or dispose of them, according to the procedures outlined by the DEA. The series tracks the prescription once it has been ordered until received.	Series contains: Patient's name and address; physician's signature and office address; physician's state license number; physician's DEA number; medication desired; quantity of medication; directions for use of the medication; diagnosis or reason for request of the medication; pharmacist's DEA number and initials; pharmacy DEA number; and pharmacist licensure number	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
04607	Narcotic Disposition Record File (C) KRS 61.878 (1) (a) (V)	This series documents narcotic drugs which are to be destroyed. The drugs may have been returned unused, expired, or adulterated, in which case, they would not be eligible for dispensing. The original list must accompany the drugs to be destroyed, with the Pharmacy Department keeping a duplicate copy. Drugs are usually destroyed approximately every other month. Destruction procedures are normally carried out by the Cabinet for Health Services. Information contained in the series aids in accountability procedures, as defined by the Drug Enforcement Agency.	Series contains: Drugs to be disposed of; quantity; strength; date drug was discontinued; patient's name, if applicable; prescription number; and Schedule for each drug (I,II,III, or IV)	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
04608	In-Service Education Record File Change Date: 3/13/2003	This series documents training that staff receive while employed in the nursing unit in the centers. Nurses are required to complete a set number of hours of in-service instruction each year. Nursing assistants must complete 12 hours of training, which is usually offered at the respective center. Licensed Practical Nurses and Registered Nurses have to complete the state required contact hours every two years. Only certified facilities can teach these courses. As required in 902 KAR 20:048, continuing education records are maintained by respective centers and are used for the purpose of regular agency review, and state licensing and certification.	Series contains: Employee training record forms; individual meeting attendance record; courses completed; dates of classes; hours earned; comments; position; unit; name; and hire date	Agency: 1	Records Center:	Archives Center:
				Destroy six years after termination of employment, and audit		
04609	Staff Schedules	This series documents staffing patterns in the centers. It shows whether or not sufficient numbers of nursing personnel are assigned, and that the staffing consists of the proper ratio of registered nurses, licensed practical nurses and nursing assistants. The information is submitted to the Veterans' Administration (VA) as part of a pre-survey and is then verified by the VA at a later date (after work has occurred).	Series contains: Name of person; job title; days of week to work/to be off; shift to work	Agency: 2	Records Center:	Archives Center:
				Destroy after audit		

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Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04610	Material Safety Data Sheets - (Pertains to hazardous chemical usage)	This series documents and informs employees of hazardous chemicals that are used by the agency. The Occupational Safety and Health Administration sends the data sheets to each respective agency, which is then responsible for making them available to staff. Every employee has the right to know what chemicals he or she is being exposed to, and the possible side effects. In addition, personnel need to know what procedures to take if an accident occurs, to safely dispose of the chemicals or to transport them. This series provides that information. It also provides other pertinent information about the chemicals, including flammability rating, boiling point, melting point, solubility in water, appearance and odor, and emergency telephone numbers.	Series may contain: Chemical control program policies procedures; name of chemical; chemical properties; hazards; first aid; control methods; special precautions; supplier's name; issue date of sheet	Agency: I	Records Center:	Archives Center:
				Destroy thirty years after issuance of data sheet		
04611	USDA Commodity Food Record File	This series documents the agreement between the Veterans' Centers and the U.S. Department of Agriculture concerning commodities. The commodities include milk, butter, cheese, and peanut butter. The centers agree to accept shipments of unused commodities. The USDA notifies the centers when there is a surplus and a request form is completed stating how much, if any, the center will take. The series documents that process and includes all correspondence and order forms.	Series contains: Application to participate; agreement; inventory list; request forms; date of delivery; loss records; standard Invoice receipts; contracts	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
04612	Day Care Facility File (C) KRS 61.878 (1) (a)	This series documents the day care facilities operated by the Thomson-Hood Veteran's Center. A file is set up when the child applies and is consistently updated. The day care facility is open to children of the employees of the respective center. It is open seven days a week, including holidays, from 6:30 am to 11:40 p.m.. The purpose is to provide the employees with reasonably priced day care, as a benefit for working at the center. It also benefits the residents by providing intergenerational activities. The records allow the facility to track complaints and investigations, and to provide information to parents for income tax purposes. The facility is licensed for sixty-three children per shift.	Series contains: Child's name; application; social security number; immunization record; copy of birth certificate; medical releases; policy agreements; medical forms; accident forms; picture of child	Agency: I	Records Center:	Archives Center:
				Destroy five years after child leaves the facility, and audit		
05326	Residents' Financial/Veterans Affairs File (C) KRS 61.878 (1) (a) (V)	This series contains documents relating to charges for residents while residing at the Center. It also contains information relating to the amount of pensions, social security and other income, as well as additional assets the resident had upon entering the Center. It also documents date of death or discharge and amounts of refunds, if applicable.	Series contains: Calculation sheet; Veteran's Affairs forms; copies of banking statements and other financial papers relating to resident's financial position; forms filed on resident's behalf; and related correspondence	Agency: I	Records Center:	Archives Center:
				Destroy five years after resident's discharge or death, and audit		
01719	Claim Case Records (Duplicate)	Established under KRS 164.515 titled: Veterans' Dependents Educational Benefits. Pertains to spouses or children of permanently disabled Kentucky National Guard individuals, war veterans, prisoners of war, or service people missing in action.		Agency: I	Records Center:	Archives Center:
				Destroy two years after claim has been approved		

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Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
01720	Claim Case Records (Duplicate)	Established under KRS 164.505 titled: Veterans' Dependents Educational Benefits. Pertains to exemption from matriculation or tuition fee of dependents, widows, widowers of Kentucky National Guard persons or service persons killed while in military service, or having died as a result of service-connected disability.		Agency: I	Records Center:	Archives Center:
				Destroy two years after claims have been approved		
01721	States Regional Office Bulletins (Duplicate)	Pertains to operational changes to Veterans' Administration rules and regulations.		Agency: I	Records Center:	Archives Center:
				Destroy when incorporated in Veterans' Affairs rules and regulations		